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Report of the Working Group on the future operations of the International Research and Training Institute for the Advancement of Women

Addendum*

Members of the Working Group on the Future Operations of the United Nations International Research and Training Institute for the Advancement of Women requested that the attached information, which was made available to the Working Group, be included in its report.

* The document was submitted following the conclusion of the deliberations of the Working Group on 12 August 2002.

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United Nations University: mission, financing and structure

Information note prepared by the Office of the United Nations University (UNU) in New York for the Working Group on the Future of the International Research and Training Institute for the Advancement of Women

I. Mission of the United Nations University

UNU was established by the General Assembly in December 1972 as an international community of scholars engaged in research, capacity-building and the dissemination of knowledge in furtherance of the purpose and principles of the Charter of the United Nations. (The Charter of the University was adopted by the General Assembly on 6 December 1973, in resolution 3081 (XXVIII).)

The mission of UNU is to contribute, through research and capacity-building, to the resolution of pressing problems that are the concern of the United Nations, its peoples and Member States. In this context, and as called for in its Charter, UNU plays four roles, as:

(a) An international community of scholars;

(b) A bridge between the United Nations and the international academic community;

(c) A think tank for the United Nations system;

(d) A contributor to capacity-building, especially in developing countries.

The University seeks to fulfil these roles by involving leading scholars, institutions of higher learning, practitioners and others in research and capacity-building within two broad programme areas: peace and governance, and environment and sustainable development. The special nature of UNU is that it combines research, policy studies and teaching with a global perspective to its work and theoretical and practical approaches to solving complex problems of human security and development.

II. Governance and structure

The University consists of the UNU Centre in Tokyo, several research and training centres and programmes and a network of associated and cooperating institutions and scholars.

The Council of the University sets out principles and policies for the University. According to the terms of the UNU Charter, the Council also decides upon the setting up or incorporation of the research and training centres and programmes of UNU and considers and approves the work programme and budget of the University. The Council reports biannually to the General Assembly and annually to the Executive Board of the United Nations Educational, Scientific and Cultural Organization (UNESCO). Its 24 members are appointed for six-year terms by the Secretary-General of the United Nations and the Director-General of UNESCO. Members serve in their individual capacities, not as representatives of

Governments or bodies. The Council has three ex officio members: the Secretary-General of the United Nations, the Director-General of UNESCO and the Executive Director of the United Nations Institute for Training and Research. The UNU Rector is also a Council member.

The Rector is the University's chief academic and administrative officer, with responsibilities for the direction, organization and administration of its overall programme.

The University Centre, located in Tokyo, assists the Rector in planning, programming and monitoring the subjects of research and areas of training for the University. It administers the overall University programme and funds it in accordance with the approved budget.

The academic programme of the University is carried out through the peace and governance and environment and sustainable development programmes located at the UNU Centre and by the 14 research and training centres and programmes of the University. Specific activities are carried out in cooperation with individual scholars and with associated and cooperating institutions. Cooperating institutions have a sustained involvement in an activity or set of activities of UNU, which may be formalized through a memorandum of understanding or agreement of cooperation. Collaboration with an associated institution involves collaboration in at least three different areas of UNU on a long-term basis. UNU networks generally comprise both institutions and individual scholars and scientists. Special attention is also given by UNU to developing joint activities with substantive staff of the United Nations system.

To date, UNU has established the following research and training centres and programmes:

- World Institute for Development Economics Research, Helsinki;
- Institute for New Technologies (UNU/INTEC), Maastricht, the Netherlands;
- International Institute for Software Technology (UNU/IIST), Macau, China;
- Institute for Natural Resources in Africa (UNU/INRA), Accra and Lusaka;
- Institute of Advanced Studies (UNU/IAS), Tokyo;
- Programme for Biotechnology in Latin America and the Caribbean (UNU/BIOLAC), Caracas, Venezuela;
- Food and Nutrition Programme for Human and Social Development, Cornell University, United States of America;
- Initiative on Conflict Resolution and Ethnicity (INCORE), University of Ulster;
- Geothermal and Fisheries Training Programme, Reykjavik;
- Leadership Academy (UNU/LA), Amman;
- International Network on Water, Environment and Health (UNU/INWEH), Hamilton, Canada;
- Programme on Comparative Regional Integration Studies (UNU/CRIS), Bruges, Belgium;

- Programme on Science and Technology for Sustainability (UNU/ISTS), Kwangju, Republic of Korea;
- Programme on Fragile Ecosystems in Wetlands Areas, Mato Gross, Brazil.

III. Financing of the United Nations University

UNU is financed entirely from voluntary contributions from governments, bilateral and multilateral agencies, foundations and other public and private sources. It does not receive any subvention from the regular budget of the United Nations. Major income for UNU is derived from its Endowment Fund, a capital fund invested to yield the basic income. UNU also receives annual operating contributions as well as specific programme and project support.

The custodial responsibilities of the Secretary-General for UNU funds are exercised by the Under-Secretary-General for Administration and Management, who oversees the Investment Management Service which manages the Endowment Fund. The apportioned income from the Endowment Fund amounts to $73 million for the biennium 2002-2003, which covers about 40 per cent of the total budget for the biennium. The balance is covered by other income, including operating, specific programme contributions and sales income and royalties from publications.

As at 31 December 2000, pledges to the UNU Endowment Fund and operating contributions from 57 Governments and one benefactor totalled $314.8 million, of which $304.32 million had been received. In addition, specific programme contributions in the amount of $55.95 million have, over the years, been made available to UNU. Contributions in the amount of $11,963,652 were received from 16 Governments in 2001. Other donors, such as the Arab Gulf Programme for the United Nations Development Programme, the European Commission, the Ford Foundation, the International Development Research Centre of Canada, the Japan Foundation for UNU, the Kirin Brewery Company, the United Nations Development Programme, the United Nations Environment Programme and the World Bank, contributed $15,749,834 in 2001.

UNU also benefits from counterpart funds and other support that is made available by various sources to the UNU associated institutions and other cooperating institutions and organizations for the purpose of carrying out collaborative programmes and projects, including cost-sharing arrangements for fellowships and other activities.

IV. Policy and criteria for the establishment and development of the research and training centres and programmes and other initiatives

What is a research and training centre or programme

A research and training centre or programme is an academic unit equivalent to a university institute or centre for research and teaching in a specific scientific domain or issue area. Those of UNU are established by the UNU Council, as provided for the UNU Charter (art. IV.4) and are integral parts of the University. In

this regard, such centres and programmes can be created by setting up a new institution or by agreement through incorporation of an existing institution into UNU, (art. IV.4.c). As a part of UNU, the centres and programmes enjoy the academic freedom and autonomy vested in the University by the General Assembly. As UNU is a voluntarily funded part of the United Nations system, the functioning of the centres and programmes is predicated on the assumption that they must have sustained long-term (normally through an endowment fund)/operating contributions at a level ensuring the implementation of long-term research and capacity-building programmes and the corresponding administrative support. Close cooperation with the local university research and training communities are developed.

Guiding principles for the establishment of a research and training centre or programme

A research and training centre or programme of UNU:

(a) Shall facilitate the fulfilment of the overall goals and themes of UNU and should function as an integral part of UNU;

(b) Should be concerned with research, capacity-building and dissemination of knowledge and be focused on a specific issue or problem, including regional issues, within a global context and may be established to meet new or emerging global problems that the University should address in fulfilment of its Charter;

(c) Must help to strengthen the academic and scientific capabilities of institutions, particularly in developing countries;

(d) Should contribute through its work to the ongoing activities and concerns of the United Nations and to the planners and decision makers in its member countries who have to deal with specific problems at the national, regional and global levels;

(e) Should be designed to fulfil well-defined long-term needs and promote an effective presence of the University in various parts of the world;

(f) Should avoid duplication of research and/or capacity-building efforts by institutions and by other parts of the United Nations system; its work should complement the academic programmes of existing research and training centres and programmes and bring some additionality to the overall UNU programme;

(g) Should interact closely with the local academic community and operate regionally and internationally, linking scholars and scientist throughout the world;

(h) Should be provided with adequate physical facilities and equipment for its establishment and continuing operation and be able to rely on a sustained source of core funding for its operations.

The steps to establish a research and training centre or programme are as follows:

(a) At the start, UNU and the host country must give a clear indication of their mutual interest in establishing a centre or programme. A preliminary agreement is then reached between the host country and the Rector of UNU regarding the area of research for the proposed centre;

(b) An international team of experts is appointed by the Rector to conduct a feasibility study to examine the basic proposal and to determine the need and conditions for the establishment of the proposed centre;

(c) On the basis of the feasibility study, the Rector submits a proposal to the UNU Council for consideration. If the Council accepts the proposal, it authorizes the Rector to continue discussions with the host country, leading to a formal agreement with the host country;

(d) UNU enters into negotiations with the host country concerning a draft host country agreement and contribution agreement that will define the terms and conditions for the funding, premises, facilities and status of personnel of the proposed centre. UNU elaborates the statute and prepares an initial programme of work;

(e) The formal proposal and draft agreements and statute are submitted to the UNU Council. In adopting the statute of the new centre and in approving the host country agreement, the Council authorizes the Rector to complete the necessary negotiations with the host country and to sign the necessary agreements. As set out in the statute of the centre, the Rector can then proceed to appoint an advisory board/committee and the director of the centre;

(f) The Rector appoints as members of the advisory board eminent scientists and scholars related to the specific domain of the centre;

(g) The activities of the centre or programme begin formally with the assumption of office of the first director. The centre functions under statutes approved by the Council. While advisory boards adopt programmes, the Council approves them as part of the overall UNU programme budget.

Additional information provided in connection with a meeting of the Working Group on the Future Operations of the United Nations International Research and Training Institute for the Advancement of Women, held on 1 August 2002

Question: Which other institutes receive subventions/grants from the United Nations regular budget?

Response: The table below provides information on the three institutions that currently receive subventions/grants from the regular budget.

Institute	*Mandate*	*Total budget, 2001 (United States dollars)*	*United Nations grant (United States dollars)*	*Percentage of United Nations grant to total budget*	*Mandate for United Nations grant*	*Target of United Nations grant*
United Nations Institute for Disarmament Research	General Assembly resolution 34/83 M	1 295 200	213 000	16.4	General Assembly resolution 39/148 H[a]	Post of the Director (D-1), administrative expenses
African Institute for Economic Development and Planning	Economic Commission for Africa resolution 58 (v)	1 279 700	469 200	36.7	Economic and Social Council resolution 1990/72 General Assembly resolution 45/248 A[b]	Posts of: Director (D-1) Chief, Administration (P-5) Chief, Training Section (P-4) Chief, Library Services (P-4)
United Nations African Institute for the Prevention of Crime and the Treatment of Offenders	Economic Commission for Africa resolution 392 (XV) Economic and Social Council resolution 1979/20 General Assembly resolution 35/171	968 868	197 912	20.4	General Assembly resolution 46/153 and 54/130[c]	Posts of: Director (D-1) Deputy Director (P-5) Research Officer (P-4) Training Officer (P-4) Information/ Documents Officer (P-3)

[a] The actual amount of subvention may be less than, but shall not exceed, an amount equivalent to one half of the assured income of the Institute from voluntary sources in respect of the year for which a subvention is being requested.

[b] The Economic and Social Council, in resolution 1990/72, called upon the General Assembly to approve the inclusion of four key posts for the Institute in the United Nations regular budget, namely, the Director, the Chief of Administration and Finance and two senior lecturers, to enable the Institute to carry out its approved programme and functions on a continued and sustained basis.

[c] The United Nations grant of $204,800 provided in accordance with General Assembly resolution 46/153 was supposed to cover the costs of the posts of a Director and a Deputy Director. The subvention, increased to $380,300 in accordance with General Assembly resolution 54/130, would cover the costs of the posts of a Director, Deputy Director, Research Officer, Training Officer and Information/Documents Officer (the salary scale of the United Nations African Institute for the Prevention of Crime and the Treatment of Offenders is different from that of the United Nations Secretariat).

Question: What are the criteria for funding of regional institutions from the regular budget of the United Nations?

Response: In its decision 49/480 of 6 April 1995, the General Assembly decided that future requests for funding for regional institutes should be considered only on the basis of criteria proposed by the Secretary-General and approved by the General Assembly to determine if such institutes should be funded from the regular budget. The Advisory Committee on Administrative and Budgetary Questions, after consideration of the related report of the Secretary-General (A/C.5/50/33), stated in its report (A/50/7/Add.12) that it would be for the Assembly to decide if the establishment of criteria for general application should be pursued or if the question of regular budget support for regional institutions/centres should continue to be decided on a case-by-case basis, taking into account such special circumstances and considerations as may exist in each case.

Question: What is the annual cost of the Professional post at the United Nations International Research and Training Institute for the Advancement of Women (INSTRAW)?

Response: The current 2002 staffing table of INSTRAW includes four Professional posts (1 D-1, 1 P-4, 1 P-3 and 1 P-2/1), at the estimated full annual cost of $519,600 at rates prevailing in the biennium 2002-2003.

Question: What is the annual cost of administrative support to INSTRAW?

Response: The cost of administrative support amounted to approximately $208,500 in 2001 and consisted of two components, as follows:

		United States dollars
(a)	General operating expenditures of the Institute:	
(i)	Maintenance of premises	36 400
(ii)	Rental and maintenance of electronic data-processing equipment	100
(iii)	Communications	29 200
(iv)	Miscellaneous operating expenses	19 800
(v)	Supplies and materials	78 900
	Total	**164 400**

(b) Reimbursement of administrative support services provided by central administration (4 per cent of budget expenditures): $44,100 in 2001.

Question: What is the current financial situation of the INSTRAW Trust Fund?

Response: The estimated financial situation of the INSTRAW Trust Fund as at 30 June 2002 is as follows:

	United States dollars
Fund balance as at 1 January 2002	849 654
Less operating reserve	200 000
Total resources available for allocation as at 1 January 2002	646 654
Income received in 2002	25 155
Expenditure as at 30 June 2002	203 375
Fund balance as at 30 June 2002	**471 434**